



Attorney Docket No. CSSK-020CP3
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Allan N. Weiss
Serial No. 10/087,339
Filing Date: March 1, 2002
Title: PROXY ASSET SYSTEM AND METHOD

CERTIFICATE OF MAILING (37 C.F.R. § 1.8(1))

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated below.

Date: 4-3-02

Diane Valeta

Assistant Commissioner for Patents
Washington, DC 20231

INFORMATION DISCLOSURE STATEMENT

Applicant and his attorney are aware of the following publications and information, listed on the attached PTO Form 1449, and in accordance with 37 CFR §1.97 hereby submit these publications for the Examiner's consideration. This Statement is being filed within three months from the filing date of the application, and before the receipt of any Official Action from the Patent and Trademark Office.

This statement is not to be interpreted as a representation that the cited publications are material, that an exhaustive search has been conducted, or that no other relevant information exists. Nor shall the citation of any publication herein be construed *per se* as a representation that such publication is prior art. Moreover, the Applicant understands that the Examiner will make an independent evaluation of the cited publications.

No additional costs are believed to be due in connection with the filing of this disclosure. However, please charge any necessary fees to our Deposit Account No. 50-1133.

Respectfully submitted,

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Date: April 3, 2002

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

 ATTY. DOCKET NO.
CSSK-020CP3

 SERIAL NO.
10/087,339

 APPLICANT
Allan N. Weiss

 FILING DATE
March 1, 2002

GROUP

(PTO-1449)



U.S. PATENT DOCUMENTS

EXAM INIT.	REF. DES.	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	*	5,597,046	06/24/86	Musmanno et al.			
	*	4,774,663	09/27/88	Musmanno et al.			
	*	4,700,297	10/31/87	Hagel, Sr. et al.			
	*	4,674,044	06/16/87	Kalmus et al.			
	*	5,270,922	12/14/93	Higgins			
	*	5,297,032	03/22/94	Trojan et al.			
	*	5,671,363	09/23/97	Cristofich et al.			
	*	5,765,144	06/09/98	Larche et al.			
	*	5,781,654	07/14/98	Carney			
	*	4,376,978	03/15/83	Musmanno			
	*	4,346,442	08/24/82	Musmanno			
	*	4,953,085	08/28/90	Atkins			

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

*	Shiller, Robert J. and Weiss, Allan N., "Home Equity Insurance", National Bureau of Economic Research, Inc., Working Paper Series, Working Paper No. 4830 (August 1994)
*	Shiller, Robert J., "Macro Markets: Creating Institutions for Managing Society's Largest Economic Risks", Oxford University Press, Oxford, (Clarendon Press 1993)
*	Case, Karl E., Shiller, Robert J., and Weiss, Allan N., "Index-Based Futures and Options Markets in Real Estate", <u>The Journal of Portfolio Management</u> , pp. 83-92 (Winter 1993)
	"The SuperTrust Trust for Capital Market Fund, Inc. Shares et al; Notice of Application," 46 SEC-Docket 1170, Release No. IC-17613 (July 25, 1990)

EXAMINER

DATE CONSIDERED

* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. 09/567,901, filed May 10, 2000, and relied upon for an earlier filing date under 35 U.S.C. §120 (continuation, continuation-in-part, and divisional applications).

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(PTO-1449)



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U.S. PATENT DOCUMENTS

EXAM INIT.	REF. DES.	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
	*	5,083,782	1/28/92	Nilssen	705	35	
	*	5,745,885	4/28/98	Mottola et al.	705	38	
	*	5,802,501	09/01/98	Graff	705	36	
	*	5,806,048	09/08/98	Kiron et al.	705	36	
	*	5,809,484	09/15/98	Mottola	705	38	
	*	5,812,988	09/22/98	Sandretto	705	36	
	*	5,826,243	10/20/98	Musmanno et al.			
	*	5,890,141	03/30/99	Carrey et al.			
	*	5,126,936	06/30/92	Champion et al.			
		5,987,435	11/16/99	Weiss et al.			

FOREIGN PATENT DOCUMENTS

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